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Substitute for form 1449A/PTO
**INFORMATION DISCLOSURE
 STATEMENT BY APPLICANT**
 (Use as many sheets as necessary)

Complete if Known

Application Number 09/945500

Filing Date August 30, 2001

First Named Inventor Forbes, Leonard

Group Art Unit Unknown

Examiner Name Unknown

Sheet 1 of 2

Attorney Docket No: 01303.029US1

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Examiner Initial *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	Filing Date if Appropriate
LP	US-4412902	11/01/1983	Michikami, Osamu, et al	204	192	06/18/1982
	US-4780424	10/25/1988	Holler, Mark A	437	29	09/28/1987
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Examiner Initials *	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	T*
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OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Class No *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T*
LP		ARYA, S., "Conduction Properties of Thin Al ₂ O ₃ Films", <u>Thin Solid Films</u> , 91, (1982), pp. 363-374	
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10/03/2004

Substitute Disclosure Statement Form (PTD-1442)
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INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known

Application Number	09/945500
Filing Date	August 30, 2001
First Named Inventor	Forbes, Leonard
Group Art Unit	Unknown
Examiner Name	Unknown

Sheet 2 of 2

Attorney Docket No: 01303.029US1

OTHER DOCUMENTS - NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T*
LP		Produced by Plasma and by Thermal Oxidation", <u>Surface Science</u> , 27, (1971), pp. 125-141	
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Substitute Disclosure Statement Form (PTO-1447)

* EXAMINER: Initial if examiner considered, whether or not citation is in conformity with MPEP 608. Draw the through citation if not in conformity and not considered. Include copy of this form with next communication to applicant. 1 Applicant unique citation designation number (optional) 2 Applicant to place a check mark here if English language Translation is attached

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Application Number	09/945500
Filing Date	August 30, 2001
First Named Inventor	Forbes, Leonard
Group Art Unit	2818
Examiner Name	Pham, Ly

Sheet 1 of 3

Attorney Docket No: 1303.029US1

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	US-2002/0106536	08/08/2002	Lee, Jongho, et al.	428	702	02/02/2001
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**INFORMATION DISCLOSURE
 STATEMENT BY APPLICANT**
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Complete if known

Application Number 09/945500
 Filing Date August 30, 2001
 First Named Inventor Forbes, Leonard
 Group Art Unit 2818
 Examiner Name Pham, Ly

Sheet 2 of 3

Attorney Docket No: 1303.029US1

DP	US-6,143,838	11/07/2000	Forbes, L., et al.	438	587	08/20/1998
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Examiner Initials*	Cite No*	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T*
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✓		KUBASCHEWSKI, O., et al., <u>Oxidation of Metals and Alloys</u> , Second Edition, Butterworths, London, (1962), pp. 1-3, 5.6, 8-12, 24, 36-39	

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Substitute Information Statement Form (PTO-1440)
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Under the Patent Statute of 1952, no person is permitted to disclose to a collection of information in which it contains a valid claim number.

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Sheet 3 of 3

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LP		KUKLI, K., "Development of Dielectric Properties of Niobium Oxide, Tantalum Oxide, and Aluminum Oxide Based Nanolayered Materials", <u>Journal of the Electrochemical Society</u> , 148(2), (2001), pp. F35-F41	
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EXAMINER

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	US-2003/0042532	03/06/2003	Forbes, Leonard	257	316	08/30/2001
	US-2003/0043622	03/06/2003	Forbes, Leonard	365	185.05	08/30/2001
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Examiner Name	Pham, Ly

Sheet 2 of 2

Attorney Docket No: 1303.029US1

LP	US-6,101,131	08/08/2000	Chang, Ming-Bing	365	185.33	04/22/1999
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OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

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EXAMINER

DATE CONSIDERED

10/03/2004

Substitute Disclosure Statement Form (PTO-1448)
 * EXAMINER: Initial if document considered, whether or not claim is in conformity with prior art. Draw line through citation if not in conformity and are considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). Applicant is to place a check mark here if English language Translation is attached.